



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
Attorney Docket Nos. 107262.199US1 and 008475 USA P01/NBD/OPTICS/JB1)

In re Application of: West et al. ) Examiner: To Be Assigned  
Serial No. 10/623,665 )  
Filing Date: July 21, 2003 )  
Group Art Unit: To Be Assigned

For: OPTICAL READY WAFERS

\*\*\*\*\*  
**CERTIFICATE OF FIRST CLASS MAILING UNDER 37 CFR §1.8**

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail addressed to:  
Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date below.

Date: 11-18-03

  
James Coughlan

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**TRANSMITTAL LETTER**

Dear Sir:

Enclosed for filing in the above-identified patent application are the following documents:

1. Information Disclosure Statement (2 pages);
2. Forms PTO-1449 (4 Pages) Copied From Parent Application (10/280,492);
3. Certificate of First Class Mailing; and
4. Return Postcard.

No fees are believed to be due in connection with this submission. However, please charge any fees that might be due or credit any overpayment to our Deposit Account No. 08-0219.

If there are any questions, please call the undersigned at the number below.

Respectfully submitted,

  
Eric L. Prahl, Reg. No. 32,590  
Attorney for Applicants

Date: November 18, 2003  
HALE AND DORR LLP  
60 State Street  
Boston, MA 02109  
(617) 526-6000  
(617) 526-5000 (Facsimile)



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(Attorney Docket Nos. 107262.199US1 and 008475 USA P01/NBD/OPTICS/JB1)

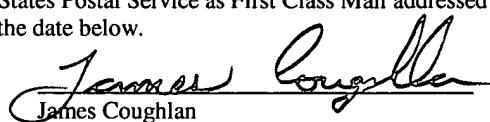
Initial Application of: West et al. ) Examiner: To Be Assigned  
)  
Serial No. 10/623,665 ) Group Art Unit: To Be Assigned  
)  
Filing Date: July 21, 2003 )

For: OPTICAL READY WAFERS

\*\*\*\*\*  
**CERTIFICATE OF FIRST CLASS MAILING UNDER 37 CFR §1.8**

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date below.

Date: 11-18-03

  
James Coughlan

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

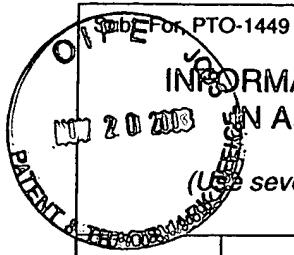
Pursuant to 37 C.F.R. 1.97(b) and 1.98(d) Applicants submit herewith the attached Form PTO-1449 for filing in the above-referenced application. The present application is a continuation-in-part of U.S. Patent Application No. 10/280,492. The Form PTO-1449 attached herewith lists references that were already submitted by the Applicants in the parent application. Therefore, pursuant to 37 C.F.R. § 1.98(d), no copies of the previously cited art are enclosed. This Information Disclosure Statement is being filed under 37 C.F.R. § 1.97(b) before the mailing date of the first Office Action, therefore no fee is believed to be due.

Please charge any fees that might be due in connection with this matter to Deposit Account No. 08-0219. If there are any questions, please call the undersigned at the telephone number indicated below.

Respectfully submitted,

  
Eric L. Prahel, Reg. No. 32,590  
Attorney for Applicants

Date: November 18, 2003  
HALE AND DORR LLP  
60 State Street  
Boston, MA 02109  
(617) 526-6000  
(617) 526-5000 (Facsimile)



INFORMATION DISCLOSURE  
IN AN APPLICATION  
(Use several sheets if necessary)

Sheet

1

OF

4

Docket Number	Application Number
107262.176 US2	10/280,492
Applicant	
West et al.	
Filing Date	Group Art Unit
October 25, 2002	2812

**COPY**

U.S. Patent Documents

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	3,217,856	Nov 16, 1965	G.T. Miles	197	127	Mar 28, 1963
	4,006,432	Feb 1, 1977	Streifer et al.	331	94.5 C	Oct 15, 1974
	4,100,562	Jul 11, 1978	Sugawara et al.	357	19	Apr 19, 1976
	4,368,481	Jan 11, 1983	Ohashi et al.	357	30	Jun 10, 1980
	4,438,447	Mar 20, 1984	Copeland, III et al.	357	19	Jan 18, 1982
	4,720,468	Jan 19, 1988	Menigaux et al.	437	129	Mar 29, 1985
	4,734,910	Mar 29, 1988	Izadpanah	372	18	Mar 25, 1987
	4,759,023	Jul 19, 1988	Yamaguchi	372	26	Jan 6, 1986
	4,959,540	Sep 25, 1990	Fan et al.	250	227.12	May 15, 1989
	4,980,568	Dec 25, 1990	Merrick et al.	250	551	May 22, 1989
	5,190,883	Mar 2, 1993	Menigaux et al.	437	3	May 16, 1991
	5,291,010	Mar 1, 1994	Tsuji	250	208.1	Oct 3, 1991
	5,193,131	Mar 9, 1993	Bruno	385	14	Apr 28, 1992
	5,298,787	Mar 29, 1994	Bozler et al.	257	592	Apr 1, 1991
	5,345,557	Sep 6, 1994	Wendt	395	200	Oct 4, 1989
	5,357,122	Oct 18, 1994	Okubora et al.	257	84	Sep 2, 1992
	5,382,810	Jan 17, 1995	Isaksson	257	81	Feb 4, 1992
	5,463,229	Oct 31, 1995	Takase et al.	257	59	Apr 7, 1994
	5,523,557	Jun 4, 1996	Bruno	250	214.1	Apr 26, 1995
	5,536,974	Jul 16, 1996	Nishiguchi	257	778	May 21, 1993
	5,548,433	Aug 20, 1996	Smith	359	158	Apr 26, 1993
	5,569,934	Oct 29, 1996	Fujii et al.	257	21	Sep 28, 1995
	5,604,361	Feb 18, 1997	Isaksson	257	99	Oct 24, 1995
	5,633,527	May 27, 1997	Lear	257	432	Feb 6, 1995
	5,663,592	Sep 2, 1997	Miyazawa et al.	257	627	Jul 20, 1995
	5,728,605	Mar 17, 1998	Mizutani	438	41	Dec 19, 1996
	5,767,508	Jun 16, 1998	Masui et al.	250	227.11	May 23, 1996
	5,801,872	Sep 1, 1998	Tsuji	359	248	Feb 7, 1996

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if citation is considered, whether or not citation is in conformance with MPEP § 609: Draw Line through citation if not conformance and not considered. Include copy with next communication to applicant.

Subt. For, PTO-1449			Docket Number 107262.176 US2	Application Number 10/280,492
O I P E INFORMATION DISCLOSURE IN AN APPLICATION MAY 20 2003 (Use several sheets if necessary)			Applicant West et al. <b>COPY</b>	
Sheet TRADEMARK	2	OF	4	Filing Date October 25, 2002
				Group Art Unit 2812

5,812,708	Sep 22, 1998	Rao	385	14	Dec 31, 1996
5,825,051	Oct 20, 1998	Bauer et al.	257	82	Sep 12, 1997
5,828,679	Oct 27, 1998	Fisher	372	6	Jul 23, 1997
5,854,804	Dec 29, 1998	Winer et al.	372	38	Dec 13, 1996
5,889,903	Mar 30, 1999	Rao	385	14	May 14, 1998
5,945,720	Aug 31, 1999	Itatani et al.	257	432	Jul 25, 1997
5,946,438	Aug 31, 1999	Minot et al.	385	88	Nov 26, 1997
5,970,081	Oct 19, 1999	Hirayama et al.	372	96	Sep 17, 1997
6,011,296	Jan 4, 2000	Hassard et al.	257	448	Aug 30, 1996
6,031,243	Feb 29, 2000	Taylor	257	13	Oct 14, 1997
6,043,515	Mar 28, 2000	Kamiguchi et al.	257	103	Sep 16, 1997
6,066,860	May 23, 2000	Katayama et al.	257	71	Dec 23, 1998
6,093,939	Jul 25, 2000	Artigue et al.	257	99	Feb 24, 1998
6,125,217	Sep 26, 2000	Paniccia et al.	385	14	Jun 26, 1998
6,202,165 B1	Mar 13, 2001	Pine	713	500	Jul 23, 1998
6,232,142 B1	May 15, 2001	Yasukawa	438	69	Dec 4, 1998
6,288,410 B1	Sep 11, 2001	Miyazawa	257	14	Oct 6, 1997
6,310,372 B1	Oct 30, 2001	Katayama et al.	257	291	Mar 21, 2000
6,318,901 B1	Nov 20, 2001	Heremans et al.	385	53	Jul 26, 1999
6,320,204 B1	Nov 20, 2001	Hirabayashi et al.	257	71	Jan 28, 2000
6,343,171 B1	Jan 29, 2002	Yoshimura et al.	385	50	Apr 20, 1999
6,346,717 B1	Feb 12, 2002	Kawata	257	72	Jan 4, 1999
6,392,342 B1	May 21, 2002	Parikka	313	512	Dec 9, 1999
6,393,183 B1	May 21, 2002	Worley	385	39	Aug 17, 1999
6,403,395 B2	Jun 11, 2002	Hirabayashi et al.	438	69	Aug 28, 2001
6,407,438 B1	Jun 18, 2002	Severn	257	433	Apr 30, 1998
6,528,799 B1	Mar 4, 2003	Franz et al.	250	214.1	Mar 22, 1999

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if citation is considered, whether or not citation is in conformance with MPEP § 609: Draw Line through citation if not conformance and not considered. Include copy with next communication to applicant.

Subt. For, PTO-1449 <b>INFORMATION DISCLOSURE IN AN APPLICATION</b> <i>(Use several sheets if necessary)</i> <b>NOV 20 2003</b> <b>PATENT &amp; TRADEMARK OFFICE</b>				Docket Number <b>107262.176 US2</b>	Application Number <b>10/280,492</b>	
				Applicant <b>West et al.</b>	<b>COPY</b>	
				Filing Date <b>October 25, 2002</b>	Group Art Unit <b>2812</b>	
	3	OF	4			

### U.S. Patent Application Publications

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	2002/0174826 A1	Nov 28, 2002	Maydan et al.	117	84	May 24, 2001
	2002/0174827 A1	Nov 28, 2002	Samoilov et al.	117	84	Dec 11, 2001
	2003/0015720 A1	Jan 23, 2003	Lian et al.	257	98	Jul 18, 2001
	2003/0025118 A1	Feb 6, 2003	Yamazaki et al.	257	79	Jul 22, 2002
	2003/0052082 A1	Mar 20, 2003	Khan et al.	216	24	Sep 19, 2001
	2003/0052088 A1	Mar 20, 2003	Khan et al.	216	67	Sep 19, 2001
	2003/0072548 A1	Apr 17, 2003	Bhardwaj et al.	385	129	Oct 12, 2001
	2003/0110808 A1	Jun 19, 2003	M'Saad et al.	65	379	Dec 14, 2001
	2003/0113085 A1	Jun 19, 2003	M'Saad	385	129	Dec 14, 2001
	2003/0114006 A1	Jun 19, 2003	White	438	694	Dec 17, 2001

### Foreign Patent Documents

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	WO 03/036369 A1	May 1, 2003	PCT				

### Other Documents (Including Author, Title, Date, Pertinent Pages, Etc.)

A	Chen et al., "Fully Embedded Board-Level Guided-Wave Optoelectronic Interconnects," Proceedings of the IEEE, Vol. 88, No. 6, June 2000, pp. 780-793
B	Choi et al., "Self-Aligning Silicon Groove Technology Platform for the Low Cost Optical Module," 1999 Electronic Components and Technology Conference, IEEE, 1999, pp. 1140-1144
C	Irace et al., "Fast Silicon-on-Silicon Optoelectronic Router Based on a BMFET Device," IEEE Journal of Selected Topics in Quantum Electronics, Vol. 6, No. 1, January/February 2000, pp. 14-18
D	Jalali et al., "Advances in Silicon-on-Insulator Optoelectronics," IEEE Journal of Selected Topics in Quantum Electronics, Vol. 4, No. 6, November/December 1998, pp. 938-947

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if citation is considered, whether or not citation is in conformance with MPEP § 609: Draw Line through citation if not conformance and not considered. Include copy with next communication to applicant.

Sub. For, PTO-1449 <b>INFORMATION DISCLOSURE IN AN APPLICATION</b> <b>2020</b> (Use several sheets if necessary)				Docket Number <b>107262.176 US2</b>	Application Number <b>10/280,492</b>
				Applicant <b>West et al.</b>	<b>COPY</b>
Sheet	4	OF	4	Filing Date <b>October 25, 2002</b>	Group Art Unit <b>2812</b>

E	Kimerling, "Photons to the Rescue: Microelectronics Becomes Microphotonics," <i>The Electrochemical Society Interface</i> , Summer 2000, pp. 28-31
F	Kostal, "Nano-optics Changes the Rules for Optical Components," NanoOpto White Paper 2002.001, June 2002, pp. 1-6
G	Kostal and Park, "Nano-optics: New Rules for Optical System Design," NanoOpto White Paper 2002.002, June 2002, pp. 1-10
H	Motorola Labs, "The Discovery: Motorola Labs solves a 30-year semiconductor industry puzzle," June 2002
I	Schaub et al., "High-Speed Monolithic Silicon Photoreceivers on High Resistivity and SOI Substrates," <i>Journal of Lightwave Technology</i> , Vol. 19, No. 2, February 2001, pp. 272-278
J	Yabu et al., "New Design Method for Low-Loss Y-Branch Waveguides," <i>Journal of Lightwave Technology</i> , Vol. 19, No. 9, September 2001, pp. 1376-1384
K	Tashiro et al., "A Selective Epitaxial SiGe/Si Planar Photodetector for Si-Based OEIC's," <i>IEEE Transactions on Electronic Devices</i> , Vol. 44, No. 4, April 1997, pp. 545-550
L	Walker and Jahns, "Optical clock distribution using integrated free-space optics," <i>Optics Communications</i> 90 (1992) pp. 359-371
M	Walker et al., "Design and fabrication of high-efficiency beam splitters and beam deflectors for integrated planar micro-optic systems," <i>Applied Optics</i> , Vol. 32, No. 14, May 10, 1993, pp. 2494-2501

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation is considered, whether or not citation is in conformance with MPEP § 609: Draw Line through citation if not conformance and not considered. Include copy with next communication to applicant.	